

File 350:Derwent WPIX 1963-2000/UD,UM &UP=200049

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File 347:JAPIO Oct 1976-2000/May(UPDATED 000915)

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Set	Items	Description
S1	7019	(PRE()MARKET? OR PREMARKET? OR PREOPEN? OR (PRE OR VERY OR INITIAL)(2N)OPENING OR LOCK()IN)
S2	0	(PRETRADING OR PRE()TRADING)
S3	674987	(ORDER? OR DEMAND? OR PRICE? OR BID OR BIDS OR BIDDING OR - OFFER OR OFFERS OR SALE? OR SELL? OR TRADE? OR TRANSACTION? OR BUY? OR PURCHAS?)
S4	592	TRADING
S5	3231	(OPENING? OR REOPENING? OR INITIAL? OR INTRODUCOR?)(2N)(S3 OR S4) OR OPENING(2N) DELAY?
S6	3648	SI AND (S3 OR S4) OR S2 AND S3 OR S5
S7	27832	(IMBALANC? OR DISPROPORT? OR ASSYMETR? OR UNBALANC? OR OVE-RBALANC? OR DISEQUILIBR? OR DIS()(EQUILIBR? OR DISPROPORT?))
S8	151	(BUY (3N)SELL) OR OFFER? (3N)DEMAND?
S9	66	S7 AND S8 OR ORDER?(2N)S7
SI0	1	S6 AND S9
SI1	I096	(MARKET OR STOCK?) (2N)(MAKER? OR PARTICIPANT?) OR SPECIAL-IST?
S12	I	SI0 AND SI1
SI3	63	S6 AND PRIC?
LIMITALL/s6		
S14	I17	(WEB OR NETWORK? OR ECN OR NET()WORK? OR W3 OR INTERNET OR INTRANET OR SERVER? OR WWW OR EXTRANET OR ONLINE OR ON()LINE OR INTERACTIV?)
S15	4	SI3 AND SI4

2

12/3,K/1 (Item 1 from file: 350)
 DIALOG(R)File 350:Derwent WPIX
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011800601 **Image available**
 WPI Acc No: 1998-217511/199819
 XRPX Acc No: N98-171936

Computer based system for opening trading prices set in series of options - determines set of opening prices for number of series of options traded on options exchange and allocates public order imbalances at opening of trading, market makers input various parameters which are compared with public orders

Patent Assignee: OPTIMARK TECHNOLOGIES INC (OPTI-N)

Inventor: LUPIEN W A; RICKARD J T

Number of Countries: 081 Number of Patents: 009

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 9812659	A1	19980326	WO 97US15665	A	19970908	199819 B
AU 9742537	A	19980414	AU 9742537	A	19970908	199839
ZA 9707481	A	19990428	ZA 977481	A	19970820	199922
TW 349201	A	19990101	TW 97113537	A	19970918	199925
NO 9901346	A	19990519	WO 97US15665	A	19970908	199930
			NO 991346	A	19990319	
BR 9711490	A	19990824	BR 9711490	A	19970908	200001
			WO 97US15665	A	19970908	
US 6016483	A	20000118	US 96717387	A	19960920	200011
CN 1238052	A	19991208	CN 97199935	A	19970908	200016
EP 1012774	A1	20000628	EP 97940854	A	19970908	200035
			WO 97US15665	A	19970908	

Priority Applications (No Type Date): US 96717387 A 19960920

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 9812659 A1 E 53 G06F-157/00

Designated States (National): AL AM AT AU AZ BA BB BG BR BY CA CH CN CZ DE DK EE ES FI GB GE GH HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ VN YU ZW

Designated States (Regional): AT BE CH DE DK EA ES FI FR GB GH GR IE IT KE LS LU MC MW NL OA PT SD SE SZ UG ZW

AU 9742537 A G06F-157/00 Based on patent WO 9812659

ZA 9707481 A 52 G06F-000/00

TW 349201 A G06F-017/60

NO 9901346 A G06F-000/00

BR 9711490 A G06F-157/00 Based on patent WO 9812659

US 6016483 A G06F-157/00

CN 1238052 A G06F-019/00

EP 1012774 A1 E G06F-157/00 Based on patent WO 9812659

Designated States (Regional): AL AT BE CH DE DK ES FI FR GB GR IE IT LI LT LU LV MC NL PT RO SE SI

Computer based system for opening trading prices set in series of options...

...determines set of opening prices for number of series of options traded on options exchange and allocates public order imbalances at opening of trading, market makers input various parameters which are compared with public orders

...Abstract (Basic): The system (fig 2) has several input devices receiving from each one several market makers a current position, a desired

target position and **market maker** orders for option series. An order entry system receives public orders for the option series. A controller is coupled to the input devices and the...

...A set of prices is determined for each options series that maximise a weighted volume of trades across all option series at the **opening** , and all **orders** that can occur at the set of prices are executed. A residual imbalance is determined for non executed public orders. The current position and the desired target position of each **market maker** is used to assign the imbalance to individual makket makers to minimise a cumulative measure of deviation between the desired target position and the current position of each **market maker** .

...

...USE - For automated opening or reopening of options exchange and for opening all option series simultaneously when **opening** or **reopening trading** on options exchange and for optimisation of allocation of public **order imbalances** to **market makers** .

...

...ADVANTAGE - Provides automated simultaneous **opening** of **trading** on options exchange

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15/3,K/1 (Item 1 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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013269115 **Image available**
WPI Acc No: 2000-441021/200038
XRPX Acc No: N00-329008

Fault-tolerant method for purchasing digital goods with digital token over world wide web, involves completing transaction by providing key for decrypting encrypted digital goods to customer

Patent Assignee: UNIV CARNEGIE MELLON (UYCA-N)
Inventor: CAMP L J; HARKAVY M R; TYGAR J D
Number of Countries: 001 Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 6076078	A	20000613	US 9611145	A	19960214	200038 B
			US 97800504	A	19970214	

Priority Applications (No Type Date): US 9611145 A 19960214; US 97800504 A 19970214

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 6076078	A		22	G09C-003/00	Provisional application US 9611145

Fault-tolerant method for purchasing digital goods with digital token over world wide web, involves completing transaction by providing key for decrypting encrypted digital goods to customer

Abstract (Basic):

... **Initially** , a **transaction** is initiated with a merchant for digital good. Merchant signed invoice and digital good in encrypted form are send to customer from the merchant. The...

...For purchasing and delivering digital goods over world wide **web** .
...

...certified delivery provides proof of delivery of specific contents to both parties. The need for trade off between reliability and anonymity is removed at the **price** of increased processing. Optimizes information goods delivered **online** , yet it can also used to provide payment receipts for other types of purchases

...Title Terms: **WEB** ;

15/3,K/2 (Item 2 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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013146349 **Image available**
WPI Acc No: 2000-318221/200028
XRPX Acc No: N00-238850

Price setting apparatus, for the price setting of financial instruments, inputs information about an item or items regarding offer price and quantity, which is then processed and sent to prospective clients who can feedback information

Patent Assignee: MINERVA HOLDINGS NV (MINE-N)
Inventor: MA S C
Number of Countries: 001 Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
AU 718538	B	20000413	AU 9961804	A	19991201	200028 B

Best Available Copy

Report for Examiner Forest Thompson, Jr 09/392018 October 10, 2000 14:35

Priority Applications (No Type Date): AU 993189 A 19991001

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
AU 718538	B		29	G06F-017/00	

K

Price setting apparatus, for the price setting of financial instruments, inputs information about an item or items regarding offer price and quantity, which is then processed and sent to prospective clients who can feedback information

Abstract (Basic):

... The **price** setting apparatus for a sale items, has an input unit where expressions of interest regarding items can be entered, nominating the number of items and the offer **price** for them. The processor takes this information and computes a moving **price** for the items. This moving **price** is then output and sent the prospective purchasers of the item via computer **network**, before the processor establishes the selling **price**. This allows the **price** to be altered due to purchaser feedback.

... For the **price** setting of financial instruments...

...The system is designed to facilitate the **initial price** setting of financial instruments such as share **prices**. The moving **price** which is communicated to perspective buyers, allows the buyers to feedback **price** information, so that when the final established **price** is set, it is neither too high or too low...

...The figure shows a flowchart of the operation of the **price** setting apparatus...

Title Terms: **PRICE** ;

15/3,K/3 (Item 3 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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010114648 **Image available**

WPI Acc No: 1995-015899/199503

XRPX Acc No: N95-012529

Auctioning system using electronic communication system - has price display unit, auctioneer operator station, two buyer operator stations and data processing unit linked by communications network

Patent Assignee: NIEAF SMITT BV (NIEA-N)

Inventor: MULDER S L

Number of Countries: 011 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
EP 628920	A1	19941214	EP 94201632	A	19940608	199503 B
NL 9301015	A	19950102	NL 931015	A	19930611	199506

Priority Applications (No Type Date): NL 931015 A 19930611

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
EP 628920	A1	E	8	G06F-015/24	

Designated States (Regional): BE DE DK ES FR GB GR IT NL PT SE

NL 9301015 A G06F-017/60

... has price display unit, auctioneer operator station, two buyer operator stations and data processing unit linked by communications network

...Abstract (Basic): The auctioning system has a **price** display unit (3), an auctioneer's operator station (2), two buyer operator stations (1) and a data processing unit (10) connected together by a communications **network**. The auctioneer's and buyer's stations can operate the **price** display to set and bid for lots. The data processor records buyers participating in a sale and out come...

...to perform the knocking down algorithm using sequential order within a certain time window. Account is optionally taken of signal propagation delay, level of each **bid**, possible **buyer** priority, re-opening of **bidding** in case of incomplete bid etc. The processor sets the purchase via a bilateral link set up between the data processor and each buyer

...Title Terms: **PRICE** ;

15/3,K/4 (Item 1 from file: 347)
DIALOG(R)File 347:JAPIO
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05795892 **Image available**
AUTOMATIC AUCTION METHOD

PUB. NO.: 10-078992 [JP 10078992 A]
PUBLISHED: March 24, 1998 (19980324)
INVENTOR(s): MORI MASAKATSU
OGURA MASAHIRO
TAKESHIMA MASAHIRO
ARAI KENJI
APPLICANT(s): HITACHI LTD [000510] (A Japanese Company or Corporation), JP
(Japan)
APPL. NO.: 08-233918 [JP 96233918]
FILED: September 04, 1996 (19960904)

ABSTRACT

PROBLEM TO BE SOLVED: To perform the auction transactions in an open **network** by displaying the auction object information received via an **on line** circuit, producing the auction ordering information on a selected object, and transmitting this ordering information to an auction execution terminal via the **on line** circuit...

...SOLUTION: An **initial price** is set (1101) and then reduced by a prescribed amount (1102). If this reduced **price** is not lower than the lowest **price** (1103), a buyer of the corresponding commodity is searched via a purchase desiring person searching routine (1104). If the buyer is searched, the presence or...

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16/3,K/1 (Item 1 from file: 256)
DIALOG(R) File 256:SoftBase:Reviews,Companies&Prods.
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01662623 DOCUMENT TYPE: Product

PRODUCT NAME: LiveWire Trader 1 (662623)

CableSoft Inc (459224)
530 W Ojai Ave #109
Ojai, CA 93035 United States
TELEPHONE: (805) 646-0094

RECORD TYPE: Directory

CONTACT: Sales Department

REVISION DATE: 980129

...the system. Users can apply a list of conditions including bid/ask spread, high/low range, daily volume, tick rate, tick size, 52-week high, **opening** and closing **price** fields, numerical operators and nested formulas (up to 200 conditions per filter) and analyze the entire 6000-symbol NASDAQ market in less than a third...
...different markets simultaneously for symbols that meet their criteria. The tick information window provides the most accurate information available on the intraday forces affecting the **price** of a security. A running time and sales display instantly alerts users to changes in bid or ask volume transaction activity. Five levels of transaction...

...ask transaction volumes on small, SOES, medium and large block trades (user configurable sizes), as well as total trade volume. The pull display shows the **price** force pulling away from the mean and the trading range is defined by the VWAP or volume-weighted average **price**. The NASDAQ Level II display provides a line-up of inside **market maker** bid and ask positions. The total share volumes are also displayed. The data is updated dynamically as bid/ask positions and **prices** shift. The fundamental database includes more than 50 filterable fields which can be displayed according to the user's criteria and then converted into a...

16/3,K/2 (Item 1 from file: 634)
DIALOG(R) File 634:San Jose Mercury
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08147040

RECESSION FEARS HIT STOCKS

San Jose Mercury News (SJ) - Friday, May 26, 1995
By: Mercury News Wire Services
Edition: Morning Final Section: Business Page: 4G
Word Count: 277

... that sales of existing homes in April dropped to their lowest levels in nearly three years.

Stock in four high-tech companies stormed onto the **market**. Microprocessor **maker** Nexgen jumped \$11.50 from the **initial** offering **price** of \$15 to close at \$26.50 in their first day of trading.

Unnet Technologies, a provider of access to the Internet, jumped \$12 to ...

16/3,K/3 (Item 2 from file: 634)

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08147009

NEXGEN SHARES DOUBLE IN INITIAL PUBLIC OFFERING

San Jose Mercury News (SJ) - Friday, May 26, 1995

By: Compiled from reports by Mercury News staff writers, the Associated Press, Bloomberg Business News and Reuters.

Edition: Morning Final Section: Business Page: 1G

Word Count: 108

TEXT:

Nexgen Inc. shares more than doubled in the first day of trading as investors snapped up **stock** in the **maker** of the first computer chip to compete against Intel Corp.'s top-ranked Pentium processor. Nexgen's initial public offering comes on the heels of...

... s 500 Index, rising 49 percent in the past 12 months. Nexgen's stock closed at \$26.50 a share, up \$11.50 over the **initial** offering **price**. It was the sixth-most active stock on the market, with nearly 5.6 million shares traded.

16/3,K/4 (Item 3 from file: 634)

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04595103

IN BRIEF

SAN JOSE MERCURY NEWS (SJ) - Wednesday, November 30, 1988

By: Mercury News Staff and Wire Reports

Edition: Morning Final Section: Business Page: 1D

Word Count: 154

TEXT:

... for ceasing car production at its Kenosha, Wis., assembly plant. (box)
The stock of Berkshire Hathaway Inc., an Omaha holding company run by billionaire takeover **specialist** Warren E. Buffett, debuted Tuesday on the New York Stock Exchange. But at an **opening price** of \$4,750 a common share, only the deep-pocketed need apply. The stock closed at \$4,700, unchanged from Monday's over-the-counter...

16/3,K/5 (Item 4 from file: 634)

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04570049

NYSE SPECIALIST FIRMS LOSE RIGHTS TO 4 STOCKS

SAN JOSE MERCURY NEWS (SJ) - Saturday, September 3, 1988

By: Associated Press

Edition: Morning Final Section: Business Page: 12F

Word Count: 236

In the NYSE system for stock trading, 54 **specialist** firms control the rights to market certain stocks and are required to set **opening prices** and cover trades using their own money when there are too few buyers or sellers.

The NYSE said after the crash that it would investigate...

16/3,K/6 (Item 5 from file: 634)

DIALOG(R)File 634:San Jose Mercury

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04528155

NYSE BOOSTS RULES FOR SPECIALIST FIRMS

SAN JOSE MERCURY NEWS (SJ) - Friday, April 8, 1988

By: Associated Press

Edition: Morning Final Section: Business Page: 18E

Word Count: 199

... capital of \$100,000 or the ability to buy 5,000 shares in each stock in which it makes a market.

The exchange has 54 **specialist** firms, which control the rights to market the stocks of the 1,650-plus companies listed on the exchange. **Specialists** are required to keep order in the market by setting **opening prices** and covering trades when there are too few buyers or sellers.

Since the October crash, five stock specialists voluntarily have agreed to give up their...

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10/3,K/1 (Item 1 from file: 634)
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05021427

INFLATION, 'WITCHING HOUR' HAMMER STOCKS
SAN JOSE MERCURY NEWS (SJ) - Saturday, March 18, 1989
By: New York Times
Edition: Morning Final Section: Business Page: 1C
Word Count: 812

... open, it was clear that the day would be a very bad one. With March futures contracts in the S&P 500 expiring at the **opening**, many program **traders** had put in orders to sell shares they owned to balance a short position in the expiring futures contract. Large **order imbalances** in many major stocks had already been disclosed before the opening.

Added to that selling was a wave of sell orders stemming from the inflation...

10/3,K/2 (Item 2 from file: 634)
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04573839

'TRIPLE WITCHING HOUR' DRIVES MARKET HIGHER
SAN JOSE MERCURY NEWS (SJ) - Saturday, September 17, 1988
By: Mercury News Wire Services
Edition: Morning Final Section: Business Page: 18E
Word Count: 436

... contract tied to the September S&P 500. When that contract expired Friday morning, the arbitrageurs sold the stocks to close out their positions and **lock in** a profit.

Traders said it was unusual that all the 50,000-share-plus **order imbalances**, which the New York Stock Exchange reports publicly to lessen the effects of the witching hour, were on one side, in this case, the sell ...

10/3,K/3 (Item 3 from file: 634)
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04522226

STOCKS MOVE UP IN HEAVY TRADING
SAN JOSE MERCURY NEWS (SJ) - Friday, March 18, 1988
By: Mercury News Staff and Wire Reports
Edition: Home Section: Business Page: 12D
Word Count: 94

Settlement of one key futures contract was done based on stock **prices** as of the opening today. Reports from the NYSE of **preopening order imbalances** were on the **buy** side.

10/3,K/4 (Item 4 from file: 634)
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04047815

WHY SOUTHLAND STOCK SOARED 7-ELEVEN FIRM IN TAKEOVER SPOTLIGHT

SAN JOSE MERCURY NEWS (SJ) - Wednesday, June 17, 1987

By: Los Angeles Times

Edition: Stock Final Section: Business Page: 13E

Word Count: 659

...transaction will result.'

Terry R. McCord, a Southland spokesman, said the company issued its release at the request of the New York Stock Exchange, which **delayed opening of trading** in the shares because of an **order imbalance**.

To investors, the statement appeared to signal a potentially lucrative recapitalization, spinoff or other restructuring -- perhaps similar to plans that have been used by Owens...

10/3,K/5 (Item 5 from file: 634)

DIALOG(R)File 634:San Jose Mercury

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03547539

SEC CHIDES REVLON FOR HIDING INFORMATION ON BUYOUT OFFER

SAN JOSE MERCURY NEWS (SJ) - Tuesday, June 17, 1986

By: Associated Press

Edition: Stock Final Section: Business Page: 2D

Word Count: 381

... Revlon common stock rose from \$42.50 a share on Sept. 26 to slightly more than \$50 on Oct. 1.

The New York Stock Exchange **delayed opening trading** in Revlon common stock on Oct. 1 because of an **order imbalance**.

The SEC said that on Oct. 2 Revlon ''first disclosed'' the company was considering a buyout at \$54 a share.

Weeks said that under SEC...

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15/3,K/1 (Item 1 from file: 634)
DIALOG(R)File 634:San Jose Mercury
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04505115

JAPAN REPORTS TRADE SURPLUS WITH U.S. ROSE IN DECEMBER
SAN JOSE MERCURY NEWS (SJ) - Wednesday, January 20, 1988
By: New York Times
Edition: Morning Final Section: Business Page: 2F
Word Count: 598

...but had slumped to nearly 120 yen as 1987 ended.

As the dollar's value falls, Japanese imports from the United States should drop in **price initially** while export **prices** rise in dollar terms. In theory, though, the reduced competitiveness of Japanese goods in foreign markets ultimately should narrow the trade **imbalance** as the volume of imports increases and the volume of exports decreases.

Tuesday's figures came as no surprise. Japanese officials had been citing comparable...
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